

IN THE UNITED STATES

PATENT AND TRADEMARK OFFICE

Richard W. Friesen and Peter C. Hart

SERIAL NO.: 09/289,550

FILING DATE: April 9, 1999

TITLE: User Interface for an Electronic Trading System

EXAMINER: Not Yet Known

GROUP ART UNIT: 2773

ATTY. DKT. NO.: 3854

CERTIFICATE OF MAILING I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner For Patents, Washington, D.C. 20231, on the date shown below: By: Dana S. Rao, Reg. No.: 43,875

BOX MISSING PARTS ASSISTANT COMMISSIONER FOR PATENTS WASHINGTON, D.C. 20231

RESPONSE TO NOTICE TO FILE MISSING PARTS OF APPLICATION

SIR:

Dated:

Responsive to Form PTO-1533 dated May 4, 1999 received in the aboveidentified patent application, enclosed are:

- ✓ a copy of the Notice to File Missing Parts;
- ✓ an original, signed Declaration;
- ☑ a signed Verified Statement
 - Applicant respectfully submits that since this application was entitled to Small Entity Status when filed, as established with the enclosed original, signed, Verified Statement, the fee for filing as a large entity as indicated in the Notice to File Missing Parts is inappropriate

	and that the filing fee submitted with this application as originally
	filed is sufficient to cover the filing fees for this application;
☑	payment in the amount of \$65.00 for the surcharge;

☐ Other:

Respectfully submitted, RICHARD W. FRIESEN and PETER C. HART

Dated: 6/1/99

Dana S. Rao, Reg. No.: 43,875

Fenwick & West LLP Two Palo Alto Square Palo Alto, CA 94306 Tel.: (650) 858-7816

Fax.: (650) 494-1417



UNITED STATES DEPARTMENT OF COMMERCE Patent and Trademark Office

COMMISSIONER OF PATENTS AND TRADEMARKS Address: Washington, D.C. 20231

APPLICATION NUMBER	FILING/RECEIPT	DATE .	FIRST NAMED APPLICANT	ATTORNEY DO	CKET NO./TITLE
09/289,550	04/09/99	FRIESEN		R	3854
DANA S RAO FENWICK & WES		N 0 4 1999 55	/0504	NOT ASS	IGNED
TWO PALO ALTO PALO ALTO CA	94306 误	<i>\$</i>		2773	
		TRADEMARKOT	DATE MAILEI	D:	05/04/99

NOTICE TO FILE MISSING PARTS OF APPLICATION Filing Date Granted

An Application Number and Filing Date have been assigned to this application. The items indicated below, however, are missing. Applicant is given TWO MONTHS FROM THE DATE OF THIS NOTICE within which to file all required items and pay any fees required below to

avoid abandonment. Extensions of time may be obtained by filing a petition accompanied by the extension fee 37 CFR 1:136(a). If any of items 1 or 3 through 5 are indicated as missing, the SURCHARGE set forth in 37 C for a small entity in compliance with 37 CFR 1.27, or \$130.00 for a non-small entity, must also be tim to this NOTICE to avoid abandonment.	FR 1.16(e) of 🗌 \$65.00
If all required items on this form are filed within the period set above, the total amount owed by appoint small entity (statement filed) ☑ non-small entity is \$	plicant as a
☐ The statutory basic filing fee is: ☐ missing. ☐ insufficient. Applicant must submit \$ 160 to complete the basic filing fee and/or file a small enclaiming such status (37 CFR 1.27).	ntity statement
2. The following additional claims fees are due:	
\$ 654 for 38 total claims over 20. \$ 700 for independent claims over 3.	
\$for multiple dependent claim surcharge. Applicant must either submit the additional claim fees or cancel additional claims for which fees are	e due.
 ☑ 3. The oath or declaration: is missing or unsigned. is does not cover the newly submitted items. An oath or declaration in compliance with 37 CFR 1. 63, including residence information and identify the above Application Number and Filing Date is required. ☑ 4. The signature(s) to the oath or declaration is/are by a person other than inventor or person qualified 1.43 or 1.47. A properly signed oath or declaration in compliance with 37 CFR 1.63, identifying the application by Application Number and Filing Date, is required. 	under 37 CFR 1.42,
5. The signature of the following joint inventor(s) is missing from the oath or declaration:	
An oath or declaration in compliance with 37 CFR 1.63 listing the names of all inventors and signed inventor(s), identifying this application by the above Application Number and Filing Date, is required 6. A \$50.00 processing fee is required since your check was returned without payment (37 CFR 7. Your filing receipt was mailed in effort because your check was returned without payment. 8. The application was filed in a language other than English. Applicant must file a verified English translation of the application, the \$130.00 set forth in 37 CFR is previously, submitted, and a statement that the translation is accurate (37 CFR 1.52(d)).	f. 1.21(m)). 음음음음
provided, and a diagramon that the translation is about all (or or in the leafur).	0928955 38 34 35
9. OTHER:	
Direct the reply and any questions about this notice to "Attention: Box Missing Parts." A copy of this notice MUST be returned with the reply. 1—4—4—6—4—6—6—6—6—6—6—6—6—6—6—6—6—6—6—6—	ลห บ ห็ลหห ะ 00000029
Customer Service Center	*HOWE
Initial Patent Examination Division (703) 308-1202	٠ •

FORM PTO-1533 (REV. 9/98)

PART 2 - COPY TO BE RETURNED WITH RES

PTO/SB/21 (modified)
Approved for use through xx/xx/xx, OMB 0651-0031

				ent and Trademark Office: U.S. DEPARTMENT OF COMMERCE						
	0001/PTO Rev. 10/95	U.S. Department of Patent and Trader	Commerce nark Office	Appli	ication Number	09/289,550				
TPE				Filing	g Date	April 9, 1999				
6	170	MITTAL FOR		First	Named Inventor	Richard W. Friesen				
JUH O 4 T	to be used for all co	orrespondence during pe iled application)	ndency of	Grou	p Art Unit Number	2773				
SATENT & TRAI	EMER			Exan	niner Name	Not Yet Know	٧n			
<u> </u>	Total Number of Pag	es in This Submission	10	Attor	ney Docket Number	3854	•			
•		ENCLO	SURES	(ch	eck all that apply	<i>(</i>)				
	Fee Transmitta	l Form (in duplicate)	 	1	Issue Fee Transi					
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	Assignment & F	Recordation Cover Shee	t			ication to Board	d of Appeals and			
·	☑ Declaration				Interferences					
;	Small Entity Sta	atement		Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)						
	☐ Information Dis	closure Statement & PT	O-1449							
	☐ Copie	es of IDS Cited Reference	es	Certified Copy of Priority Document(s)						
	Request for Co	rrected Filing Receipt		After Allowance Communication to Group						
	Request for Co	rrection of Recorded Ass	signment							
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	REMARKS:									
i		SIGNAT	URE OF	ATTO	DRNEY OR AGEN	NT.				
	Signature:	Dans	2-							
	Attorney/Reg. No.:	Dana S. Rao/Reg. No.	43,875	Dated: 6/1/99						
	CERTIFICATE OF MAILING									
	I hereby certify that this correspondence, including the enclosures identified above, is being deposited with the United States first class mail in an envelope addressed to: The Assistant Commissioner for Patents, Washington, D.C. 20231 on the date s the Express Mail Mailing Number is filled in below, then this correspondence is being deposited with the United States Postal Mail Post Office to Addressee* service pursuant to 37 CFR 1.10.									
	Signature:	Q) (64						
	Typed or Printed Nar	me: Dana S. Rao				Dated:	6/1/99			
	Express Mail Mailing	Number (optional):					,			

PTO/SB/17 (6-95)(modified)
Approved for use through 11/30/96, OMB 0651-0032

	0000/070/				Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE							
ID	0002/PTO(modified) U.S. Department of Con								mplete if Known			
\(\frac{1}{2}\)	Rev. 10/95 Patent and Trademark						9/289,550					
•						Date		April 9, 1				
0. / 5	FEE TRANSMITTAL				First Named Inventor Rich		Richard V	V. Frieser	ו			
JUN 0 4	J 4 999 _[편]				Grou	Art Unit		2773			•	
9.	TC	OTAL AMOU	JNT OF PAYMENT		Exam	iner Name	•	Not Yet K	nown			
En.	Subtotal (1)	Subtotal (1) + Subtotal (2) + Subtotal (3) = (\$)1,138.00			Attorr	ey Docke	t Number	3854				
TENTE TRADE	METHOD OF PAYMENT				FEE CALCULATION (continued)							
	1		hereby authorized to:									
	1. 1116 COIII	iiiiissioilei is i	nereby authorized to.		3. ADDITIONAL FEES Large Entity Small Entity							
		arge the indicated ntioned deposit a	d fees to the below	Fee Code	Fee Code/Fee Fee Code/Fee Fee Description			iption			Fee Due	
	l				5/\$130 205/\$65 Surcharge - late filing fee or oath					65		
•	CF	R 1.16 - 1.21 or c	al fee required under 37 credit any over payments ned deposit account. 1	127/\$	127/ \$50 227/ \$25 Surcharge-late provi			late provisio	nal filing fe	e or cover sheet		
	l		ee set in 37 CFR 1.18 at the	147/\$2,	520	147/ \$2,520	For filing a	request for reexamination				
	Mai	iling of the Notice	e of Allowance, the below mentioned	115/\$1	115/ \$110 215/ \$55 Extension for response with				within first	month [†]		
	deposit account.			116/\$3	80	216/ \$190	Extension f	or response	within sec	ond month [†]		
		ount Number: 19		117/\$8	70	217/\$435	Extension f	Extension for response within third month [†]				
	· ·		NWICK & WEST LLP	118/\$1,	360	218/ \$680	Extension f	or response	within four	th month [†]		
		2. X Payment Enclosed: [X] Check [] Other			850	228/ \$925	Extension f	Extension for response within fifth month [†]				
•					00	219/ \$150	Notice of A	otice of Appeal				
	1. FILING F	EE	(fees effective 11/12/98)	141/\$1,	210	241/\$605	Petition to r application	revive uninte	ntionally al	pandoned		
	Fee Code/Fee	<u>Large Entity</u> <u>Small Entity</u> Fee Fee Fee Fee Code/Fee Fee Code/Fee Description Due		142/ \$1,210 242/ \$605 Utility Issue Fo			Fee (Or Re	ee (Or Reissue)				
	101/ \$760	201/ \$380	Utility Filing 380	143/\$4	30	243/ \$215	Design Issu	ıe Fee				
	106/ \$310	206/\$155	Design Filing	122/\$1	30	122/\$130	Petitions to	the Commis	ssioner			
	108/ \$760 208/ \$380 Reissue Filing		123/\$	50	123/ \$50	Petitions re	titions related to provisional applications					
	114/\$150	214/\$75	Provisional	126/\$2	40	126/ \$240	Submission	on of Information Disclosure Statement				
	, , , , , , , ,	SUBTOTAL (1) (\$)380 2. CLAIMS Large Entity Small Entity		581/\$4	40	581/ \$40		Recording each patent assignment per property (times number of properties)				
	2. CLAIMS			146/ \$760 246/ \$380 Filing a submission aft (37 CFR 1.129(a))				r final rejec	ction			
				149/\$7	60				ention to be	examined		
	103/\$18	203/\$9	Claims in excess of 20				,	//				
	102/\$78 202/\$39 Independent claims in excess of 3		Other fee (specify):									
			Other fee (specify):						•			
	104/ \$260	204/ \$130	Multiple dependent claim						SUBTO	OTAL (3) (\$)	65.00	
	109/\$78	209/\$39	Reissue independent claims over original patent	For	(Col. 1 No. of Existing	1	(Col. 2) Highest Previous	No.	Col. 3) Extra**	Fee	Fee Due	
	110/\$18	210/\$9	Reissue claims in excess of 20 and over original	TOTAL	Claims 58	minus*	Paid 20 or	For =	38 ×	9 =	342	
			patent	INDEP	12	minus*	3 or	dent claim	9 x	39 =	351	
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•						* Subtract the greater number of Col. 2 SUBTOTAL (2) (\$)693 ** If the difference between Col. 1 and Col. 2 is less than zero, then enter "0" in Col. 3						
	SUBMITTED BY								Complete (if applicable)			
	Typed or Printed Name Dana S. Rao								Reg. Number 43,875			
	Signature					1	Date 6/1/99					

¹ Request for Extension of Time per 37 CFR 1.136 (a)(3) made hereby